

Internal Control Roundtable

Meeting Minutes

Meeting Date: February 1, 2018

Scribe: Mike Thone, MMB Internal Control and Accountability (ICA).

Host and meeting location: Courtney Quinn, Internal Controls and Audit Manager for the Department of Veterans Affairs hosted the meeting at the Veteran's Service Building, fifth floor conference room.

Presenters: Angelina Barnes and Mike Thone from the ICA Unit

Present at the Meeting:

Mike Thone, Jake Rossow, and Angelina Barnes (ICA), Marita Bliven (Bd. of Animal Health), Paul Mathe and Brenda DaBruzzi (DPS), Candice Harding, Cindy Charles, Laurie Studer, and Stephanie Wortham (MnDOT), Nick Mokaya (PCA), Amy Jorgenson and Sandy Ludwig (MDH), Robert Helgeson (OHE), Molly Nystel (WCCA), Ruth Krupa (TRA), Jennifer O'Leary, Titima To, Shireen Gandhi, and Hillary Friend (DHS), Iryna Shafir (SBI), Jennifer Nasifoglu (OAG), Tom OHern (MHFA), Courtney Quinn (MDVA), Eric Athman (DMA), Katrina Jones (MDE), Andrea Tommerdahl, Lindsay Rivard, and Josh Botnen (DOR), Marianne Bouska (IRRR), Mario Chavez (BWSR), Tim Rekow (MSRS), Dave Salchow (Admin), John Nyanjom and Melissa Stewart (MNSure).

Welcome and Introductions:

Mike Thone welcomed the group and reviewed the meeting agenda.

Main Agenda:

Angelina presented the first comprehensive overview of the 2018 updates to *MMB Statewide Operating Procedure 0102-01.02, Agency Risk Assessment*. The overview included a high level presentation of the statewide requirements for agency risk assessment, a side-by-side review of existing and updated language (same requirements with increased support in the Risk Assessment Toolbox!), and a step-by-step tutorial on how to use the *Agency Risk Assessment Worksheet*. Initial 2018 Annual Internal Control System Certification deadlines were announced for executive branch agencies required to submit risk assessment plans to MMB. The following written documents were provided to meeting attendees:

- MMB Statewide Operating Procedure, 0102-01.2, *Agency Risk Assessment* - Updated
- Agency Risk Assessment Worksheet: Risk Factors - Handout
- *Agency Risk Assessment* Procedure Comparison - Handout
- 2018 Annual Internal Control System certification preliminary timeline

The ICA Unit continues to appreciate the feedback provided by agencies and has made specific changes to the 2018 Risk Assessment submission timeline and the Agency Risk Assessment Worksheet to break the procedure into manageable steps and to simplify the Worksheet. Additional training (in various formats) and individual agency assistance to support agency risk assessment is planned.

Mike walked through the 2018 Annual Internal Control System certification preliminary timeline of events and deadlines.

Open Forum Topics:

- Members posed questions and initiated discussion about the 2018 Annual Internal Control System certification and the Risk Assessment Toolbox. Please contact ICA Director (651-201-8119 or Angelina.M.Barnes@state.mn.us), if you have questions, feedback or wish to discuss agency specific circumstances. The ICA Unit looks forward to hearing how we can help your agency strengthen its system of internal control.
- Amy Jorgenson initiated discussion about the OLA's audit of the enterprise's business continuity planning and coordination.
- Mike Thone announced a request for assistance from Minnesota Housing Finance Agency (MHFA). The agency's Chief Risk Officer position recently turned-over and MHFA management is interested in reviewing Roundtable member position descriptions (PDs) to evaluate the position responsibilities. Please contact [Barb Sporlein](#), MHFA Deputy Commissioner, if you have information to share. Thank you on behalf of the MHFA management team.

Next Meeting:

Thursday, March 15, 2018, 9 a.m. – 11 a.m.

Courtney Quinn, Internal Controls and Audit Manager for the Department of Veterans Affairs is hosting the meeting at the Veteran's Service Building, fifth floor conference room. The Veteran's Service Building is located at 20 West 12th Street, St. Paul MN 55155.

Roundtable members should enter the building through the central walkway west-side doors, and take the elevator to the fifth floor. There is no check-in or other security protocols to follow but please note the doors are locked prior to 8:00 a.m.

Meeting Agenda:

- Chris Buse, the new Deputy Legislative Auditor, will give a presentation about his vision for the OLA and the importance of enterprise risk management.
- Open Forum